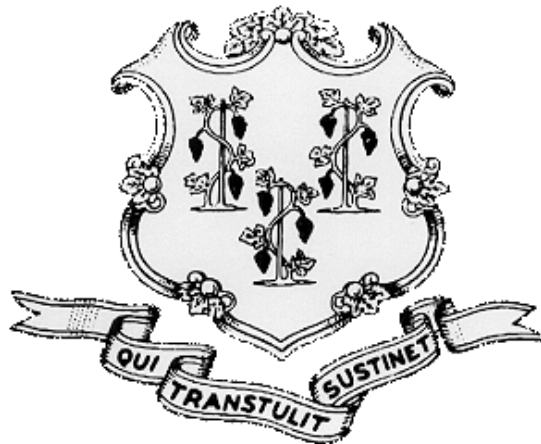


**STATE OF CONNECTICUT
DEPARTMENT OF ECONOMIC
AND COMMUNITY DEVELOPMENT**



**BIDDING, CONTRACTING & CONSTRUCTION GUIDELINES
FOR STATE PROGRAMS**

Revision: April 2011

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COMMISSIONER**

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DEPUTY COMMISSIONER**

TABLE OF CONTENTS

	<u>PAGE</u>
1) Categories of Work.....	3
2) Conflict of Interest Notice.....	3
3) Bid Package Submission Requirements.....	3
4) Project Guidelines for State Programs at \$250,000 or Less.....	3
5) Predevelopment Phase Requirements.....	4
6) Advertising the Project.....	5
7) Material and Services	5
8) CHRO Requirements.....	5
9) Bonds/Certified Checks	6
10) Insurance.....	7
11) Prevailing Wage Rates.....	7
12) Prequalifying Bidders.....	7
13) Construction Managers in Place of General Contractors.....	8
14) Documents to be Forwarded to DECD at Completion of Bidding.....	8
15) Selecting the General Contractor.....	8
16) Documents to be Forwarded to DECD Once General Contract is Executed.....	9
17) Grantee Responsibilities.....	9
18) Miscellaneous.....	10
19) Modifications of the Selection Process.....	10
20) Attachments.....	10
a) Competitive Bidding Guidance for Economic Development Projects.....	11-12
b) State Seal, DECD Logo, and State Sign Template.....	13-14
c) CHRO Contract Compliance Regulations Notification to Bidders Form..	15-19
d) Construction Monitoring Procedures.....	20-24

1. CATEGORIES OF WORK

- a) Emergency Work: Public Health and Safety remedial construction
- b) Minor Construction/Renovation: Single trade tasks and/or non-complex construction with a total value of \$100,000 or less.
- c) Major Construction/Renovation: multiple-interrelated trade tasks and/or complex construction with a total value of over \$100,000.

2. CONFLICT OF INTEREST NOTICE

Members and relations of the governing body and/or staff of the grantee shall be prohibited from receiving contracts for material or services related to the Construction/Renovation.

3. BID PACKAGE SUBMISSION REQUIREMENTS:

- a) All construction plans, specifications, and instructions to bidders must be prepared by a licensed professional engineer or architect.
- b) A draft bid package, including plans and specifications must be submitted to the Department of Economic and Community Development (DECD) for review not less than two weeks prior to advertisement. The project design professional should submit a project cost estimate as part of the package.
- c) Where applicable, CONNDOT Form 814A, 815 or 816 are suitable substitutes for construction and material specifications.
- d) The Bid Package must include the attached document “CHRO Contract Compliance Regulations Notification to Bidders” form.
- e) The Bid Package should clearly state the terms and conditions for bidding the project including the submission of the “CHRO Contract Compliance Regulations Notification to Bidders” form. Bids not including this form should be considered incomplete and rejected.
- f) DECD must approve any exemption from the bidding process for Emergency Work.

4. BIDDING, CONTRACTING & CONSTRUCTION REQUIREMENTS FOR STATE PROGRAMS AT \$250,000 OR LESS

Unless notified by DECD, for projects with a total project cost of \$250,000 or less, the grantee will be required to certify that the project is in compliance with DECD design, bidding, contracting and construction monitoring requirements. Unless specifically waived by DECD, the grantee’s design professional must have the proper professional credentials, i.e. professional engineer or registered architect. It will be the responsibility of the grantee to certify and submit the appropriate documentation during the pre-bid phase, construction phase and

close-out phase of the project. The grantee will be required to provide the DECD with the following signed certification documents once the bid package has been prepared and once the construction contract has been executed:

- a) Construction Bid Package, Drawings, and Specifications Compliance Certification (page 23)
- b) Construction Monitoring & Close-out Compliance Certification (page 24)

If the grantee has any questions, concerns, comments regarding this process or needs assistance in carrying out these requirements, please feel free to contact DECD's Technical Support Hotline at (860) 270-8249.

5. **PREDEVELOPMENT PHASE REQUIREMENTS**

- a) **Floodplain** - The FEMA Flood Insurance Rate Map (FIRM) of the project boundary must be reviewed by the project design professional during the design phase. If the project proposes an activity within or affecting a floodplain or that impacts storm drainage facilities, the DECD must submit a Flood Management Certification to DEP (C.G.S. 25-68b through 25-68h). The grantee's design professional will be responsible for preparing the application and submission to DECD for review and subsequent certification to DEP. DECD will not approve or fund any construction activities until certification has been accepted by the DEP. When Flood Management Certification is required, it must be approved prior to the completion of the bid package.
- b) **Historic Considerations** – Projects involving the renovation, rehabilitation, or additions to Historic buildings or sites will require consultation with the State Historical Preservation Commission (SHPO). Documentation of such consultation and approval by SHPO will be required.
- c) **Hazardous Materials** – It is the grantee's responsibility to investigate the possible existence of hazardous materials and evaluate their impact on the proposed project. Hazardous materials include, but are not limited to, lead based paint, asbestos containing materials, PCBs etc. If hazardous materials are present on the project site or in existing buildings, appropriate mitigation, remediation must be included in the scope of work, plans and specifications.
- d) **Approvals** – The grantee shall review any factors in conflict with the use of the site or the planned project on the site to be developed or rehabilitated (e.g. building lines, zoning regulations, local ordinances, codes or other pertinent regulations or restrictions). Particular attention should be given to projects that will involve a change in use. The grantee shall obtain all necessary local, state, federal and utility companies' approvals and any special permits, variances or waivers that may be required.

6. ADVERTISING YOUR PROJECT

- a) Notify DECD of the Bid Opening date, time, and location as soon as it is determined.
- b) DECD grantee must run a notice in the Public Notices section of one newspaper with broad circulation such as the Hartford Courant, Waterbury Republican, Bridgeport Post, New Haven Register, Norwich Bulletin, or the Stamford Advocate. The ad must end with the following statement:

“An Affirmative Action/Equal Opportunity Employer. Minority/Women's Business Enterprises are encouraged to apply.”

- c) The notice must run for at least two (2) days.
- d) DECD recommends but does not require the applicant also run a notice in the Public Notices section of a local newspaper. Trade media may also be used for placing project notices. Examples of such media are below.
 - 1) F.W. Dodge Reports (1-800-393-6343); or
www.dodge.construction.com
 - 2) New England Construction News/CDC News (888-281-5593), or
www.cdcnews.com
 - 3) The Blue Book www.thebluebook.com
- e) In cases where the total project cost is below \$100,000, bids may be solicited by letter, fax or email. However, the DECD grantee must solicit at least three quotations for such project.
- f) Please refer to the DECD Competitive Bidding Guidance for Economic Development Projects (Attachment A) for additional information to determine whether a project's construction contract needs to be publicly advertised for competitive bidding.

7. MATERIAL AND SERVICES

- a) Many State Department of Administrative Services (DAS) service contracts are available to municipalities for use at the following site:
http://www.biznet.ct.gov/SCP_Search/Default.aspx?AccLast=1
- b) In cases where the total estimated material cost is below \$25,000, fax, email or letter solicitation for prices is acceptable. However, the DECD grantee must solicit at least three quotations for material.

8. CHRO REQUIREMENTS

- a) The grantees and their contractors will need to comply with 4a-60 and 4a-60a of the Connecticut General Statutes (C.G.S.) and Sections 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies. The above statutes and regulations require the grantee to “aggressively solicit the participation of

legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials.” on projects. Consult your Architect or call the Project Manager for assistance.

- b) All bidders must complete, sign, and return the “CHRO Contract Compliance Regulations Notification to Bidders” form to the grantee at the time of bid opening. Bids not including this form should be considered incomplete and rejected. This form is attached, and can also be found at:
<http://www.ct.gov/chro/lib/chro/pdf/notificationtobidders.pdf>
- c) Federal Financing (EDA, UD, CDBG, etc.) carries its own Minority/Women's contracting requirements. The DECD grantee must comply. The granting sources will provide instructions.

9. BONDS/CERTIFIED CHECKS

a) Municipalities

- 1) Municipalities must require bid bonds (5% minimum) for contracts exceeding \$50,000 or subcontracts exceeding \$50,000 (C.G.S. 49-41).
- 2) Municipalities must require a Performance Bond for contracts exceeding \$25,000 or a subcontract exceeding \$50,000 (C.G.S. 49-41).
- 3) Municipalities must require a Labor & Material Payment Bond for contracts exceeding \$100,000.
- 4) If a construction manager is employed, each subcontract exceeding \$100,000 shall be bonded or a certified check required.

b) Private Non-Profit Projects

- 1) Where the general contract exceeds \$100,000, the grantee shall require bid bonds or certified checks from the general contractor.
- 2) Contracts less than \$100,000;
 - The grantee shall negotiate a payment schedule with the contractor. The payment schedule shall ensure that the contractor has provided the grantee with sufficient guarantees to ensure project completion.
 - The grantee shall secure lien waivers if Subcontractors are employed. Consult your architect.
 - The grantee shall provide written notification to the DECD in order to meet these requirements for contracts less than \$100,000.

10. INSURANCE

- a) The project's Assistance Agreement between the DECD and the Grantee should be followed for insurance requirements.
- b) Contractor's Certificate of Insurance shall be required. The grantee is responsible for insuring that the levels are adequate.
- c) State of Connecticut shall be listed as an additional insured.
- d) Builder's Risk Insurance should be obtained either through the general contractor or grantee's agent. A copy of the Builder's Risk Certificate should be provided to DECD with the State of Connecticut listed as A.T.I.M.A.
- e) The DECD grantee Liability Insurance should be checked, especially if clients will be receiving services at the facility while construction is taking place. The grantee should ensure the existing coverage is adequate. If not, a rider should be secured.
- f) The "Hold Harmless" endorsement of the insurance shall include the interest of the municipality and the State of Connecticut. The Contractor and Subcontractors and other interests shall be so named. This policy shall insure against all risks of physical damages except as modified by the contract documents and subject to the normal all risk exclusions.

11. WAGE RATES

- a) Municipal grantees shall pay the prevailing wage rates on projects: (a) where the total cost of all work to be performed by all contractors and subcontractors in connection with new construction is \$400,000 or more; and (b) where the total cost of all contractors and subcontractors for remodeling, refurbishing, rehabilitation, and repair is \$100,000 or more (C.G.S. 31-53(g)). The State Department of Labor's Wage and Workplace Standards Division (860-263-6549) will assist the DECD grantee in determining the prevailing wage rate.
- b) Where federal funds are involved, Davis-Bacon Act rates may apply. Consult funding source.

12. PREQUALIFYING BIDDERS

- a) Municipal contracts for the construction or renovation of a public works project, where the estimated value is \$500,000 or greater, may need to comply with C.G.S. Sec. 4b-91. In such cases the contractors must be pre-qualified by the State of Connecticut Department of Administrative Services (DAS).
- b) It is permissible to use AIA form A305, Contractor's Qualification Statement, as a prerequisite to bidding, provided prequalification does not prevent minority/women owned firms from bidding. Consult your architect.

13. CONSTRUCTION MANAGERS IN PLACE OF GENERAL CONTRACTORS

The DECD grantee may employ a construction manager, but if this management method is used, each subcontract must be bid employing the same procedures outlined above with a minimum of three bids for each subcontractor, advertising for each and compliance with minority regulations. Any specific construction trade work to be conducted by the construction manager requires DECD pre-approval.

14. DOCUMENTS TO BE FORWARDED TO DECD AT COMPLETION OF BIDDING:

- a) Completed bid tabulation and a complete copy of the three lowest responsive bids.
- b) Signed copies of the "CHRO Contract Compliance Regulations Notification to Bidders" form from the three lowest responsive bids.
- c) Copies of the bid bonds/certified checks from the three lowest responsive bidders.
- d) A copy of advertisements soliciting bids and/or publisher's affidavit from newspapers.
- e) A final copy of bid addendums (if any).
- f) Project design professional's letter of recommendation and grantee's letter of award for acceptance of the lowest responsible bidder.

15. SELECTING THE GENERAL CONTRACTOR

- a) Lowest Responsible and Qualified Bidder: As used in this section, "lowest responsible and qualified bidder" means the bidder whose bid is the lowest of those bidders possessing the skill, ability and integrity necessary to faithfully perform the work. Should the grantee reject the lowest bidder as not responsible and/or not qualified, the grantee shall immediately notify DECD of the reasons for the rejection and request DECD concurrence. The Commissioner of DECD shall at his/her discretion either approve or deny the grantee's rejection. The grantee agrees to hold DECD harmless from any and all claims by rejected bidders.
- b) Competitive Bidding - Contracts greater than \$100,000 for DECD-sponsored projects: The grantee will give full opportunity for free, open and competitive bidding for each contract calling for installation, construction, reconstruction, demolition, removal, site improvement work or other similar work. The grantee will ensure the advertisement or call for bids for each such contract and will provide adequate competition. The award of such contract, when made, will be made by the grantee as soon as practicable to the lowest responsible and qualified bidder.

- c) In the event that the grantee does not believe the lowest bidder, as defined in “a” above, to be responsible and qualified, the grantee will notify DECD requesting their concurrence in its choice before executing the general contract. In the event that there are less than three bidders, the grantee shall inform the department and request instructions.
- d) Individual physical development contracts under \$10,000 in value shall not be subject to competitive bid requirements.
- e) The applicant must notify DECD before the contract is executed.

16. DOCUMENTS TO BE FORWARDED TO DECD ONCE THE GENERAL CONTRACT HAS BEEN EXECUTED

- a) One copy of executed contract and grantee's authority to execute (Board Resolution, etc.)
- b) Notice to Proceed
- c) Copy of Performance Bond, Labor and Material Payment Bond, and Power of Attorney for Surety (unless under \$100,000).
- d) Certificate of Insurance from general contractor covering liability and workers' compensation and builder's risk.

17. GRANTEE RESPONSIBILITY

- a) DECD shall review project documents to ensure consistency with project goals, department standards and technical correctness. However, it is the responsibility of the grantee, its architect and its Attorney to ensure that the documents are technically correct, complete and, where necessary, protect the grantee and the State of Connecticut from any and all claims.
- b) The grantee will comply with all relevant local, state and federal regulations, and comply with all standard contracting practices to safeguard the interests of the grantee and the state including, but not limited to, contractor performance, security, insurance, permits, and inspections.
- c) The grantee shall erect a suitable sign attributing funding to State of Connecticut, Governor; Department of Economic and Community Development, and Commissioner. A sign template is attached to this document.

18. MISCELLANEOUS

- a) Change Orders: DECD does not approve or disapprove change orders. The department reserves the right to review each change order, and advise the grantee as to its appropriateness. If the change order is within the scope of the work approved by the Bond Commission, and funding is available (DECD will not request additional funds) the grantee may approve change orders. DECD reserves the right to determine the state funding eligibility of each change order.
- b) Vendor Payments: DECD does not approve or disapprove payments to Contractors. Copies of each approved Payment Application shall be sent to the department.
- c) Retainage: If the contractor has provided Contractor's Affidavit of Release of Liens (AIA form G706A) and lien waivers from major subcontractors and suppliers, a contractor may request the balance of retainage. If these documents are not provided, retainage can not be paid until 91 days after the date on the Certificate of Substantial Completion.

19. MODIFICATIONS OF THE SELECTION PROCESS

DECD approval is required for any modification or change to the bidding or selection process.

20. ATTACHMENTS

- a) Competitive Bidding Guidance for Economic Development Projects
- b) State Seal, DECD Logo, and State Sign Template.
- c) CHRO Contract Compliance Regulations Notification to Bidders Form.
- d) Construction Monitoring Procedures.

DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT

Competitive Bidding Guidance for Economic Development Projects

Definitions

The following are useful definitions for reference.

Public Building (section 1-1(e) cgs): "...shall include a statehouse, courthouse, townhouse, arsenal, magazine, prison, community correctional center, almshouse, market or other building belonging to the state, or any town, city, borough in the state, and any church, chapel, meetinghouse, or other building generally used for religious worship, and any college, academy, schoolhouse or other building generally used for literary instruction."

Public Works Contract (section 46a-68b cgs): "...means any agreement between any individual, firm or corporation and the state or any political subdivision of the state other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or which is financed in whole or in part by the state, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees."

Competitive Bidding (the Architect's Handbook of Professional Practice, Vol. 2, AIA 1987): Competitive bidding seeks to find the lowest reasonable price for the project through competition for the work. The theory is that many interested contractors have access to the project and that head-to-head competition will produce the best possible price consistent with marketplace conditions.

General

1. The Economic Development and Manufacturing Assistance Act (MAA) and the Urban Action (UA) statutes do not provide guidance on the applicability of publicly advertised competitive bidding of construction projects. The guidance detailed below establishes agency policy regarding the use of publicly advertised competitive bid for DECD sponsored projects.
2. It is DECD's policy to maximize the benefits derived from the use of public funds and to protect these funds from inappropriate use.
3. All major contracts for construction should be procured through a competitive process. Competitive bidding is a standard practice within the construction industry. Competition provides numerous benefits such as:
 - a. Cost savings to the client and state
 - b. Fair competition for construction contracts
 - c. Ensuring the use of qualified contractors
4. Construction bids can be obtained through a non-publicly advertised competitive process or through a publicly advertised process.

Guidance

The nature of the project and the organization of DECD's client determine whether a project's construction contracts are publicly advertised for competitive bidding.

Publicly advertised competitive bidding may also be appropriate for certain clients and/or projects. A public competitive process will help the client locate qualified firms and establish a market rate for the improvements.

Please refer to the table below as a guide for compliance with the contract solicitation process.

Client Category	Project Category	Public Competitive Bid	Competitive Bid
Financial assistance to for-profit corporation for WC, M&E, Training, etc	private	No	No
Financial assistance to for-profit corporation for building, site or infrastructure improvements	private	No	Recommended
Financial assistance to not-for-profit corporation for building, site or infrastructure improvements when acting on behalf of a municipality	public	Yes	Yes
Financial assistance to not-for-profit corporation for building, site or infrastructure improvements when acting on behalf of a municipality	private	Recommended	Local Procurement Process
Financial assistance to not-for-profit corporation for building, site or infrastructure improvements when acting for their own interests where state funding is less than 25% of the total project cost	private	Highly Recommended	Yes
Financial assistance to not-for-profit corporation for building, site or infrastructure improvements when acting for their own interests where state funding is greater than 25% of the total project cost	private	Yes	Yes
Financial assistance to municipalities for construction/improvements of public infrastructure/public land	public	Yes	Yes

PROJECT SIGN – ECONOMIC & COMMUNITY DEVELOPMENT

8'-0"

4'-0"

NAME OF THE PROJECT

NAME OF THE SPONSOR/DEVELOPER

Constructed in cooperation with the



STATE OF CONNECTICUT
DANNEL P. MALLOY, GOVERNOR



Department of Economic and Community Development

Catherine H. Smith., Commissioner

and the

Name of Town/City
Name of Chief Elected Official and title

Name of Architect

Name of General Contractor

SIGN PANEL: ¾" MDO-EXT-APA PLYWOOD SUPPORTED WITH (2) 4X4 TREATED WOOD COLUMNS AND SECURED 4' INTO GRADE. TOP OF SIGN AT 8'-0" ABOVE GRADE.

COLORS: ALL LETTERS AND SYMBOLS ARE TO BE ROYAL BLUE. THE BACKGROUND WILL BE WHITE ENAMEL. BACK OF PLYWOOD AND SUPPORT STRUCTURE SHALL BE PAINTED MATTE BLACK.

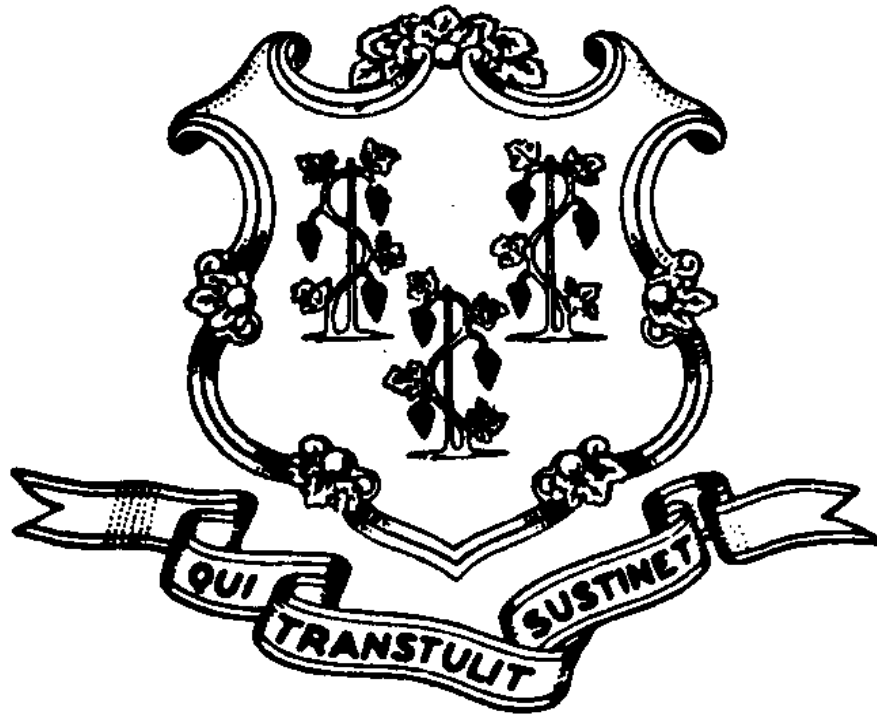
TYPEFACE: HELVETICA MEDIUM

LOCATION: SIGN MUST BE LOCATED TO BE CLEARLY VISIBLE TO THE PUBLIC.

TIMING: INSTALL AT THE START OF CONSTRUCTION AND REMOVE AT CONSTRUCTION COMPLETION.

STATE SEAL & DECD LOGO: ATTACHED

STATE SEAL



DECD LOGO



**COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES
CONTRACT COMPLIANCE REGULATIONS
NOTIFICATION TO BIDDERS**

(Revised 09/17/07)

The contract to be awarded is subject to contract compliance requirements mandated by Sections 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Sections 46a-71(d) and 46a-81i(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies, which establish a procedure for awarding all contracts covered by Sections 4a-60 and 46a-71(d) of the Connecticut General Statutes.

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to "aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials." "Minority business enterprise" is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: "(1) Who are active in daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; and (3) who are members of a minority, as such term is defined in subsection (a) of Section 32-9n." "Minority" groups are defined in Section 32-9n of the Connecticut General Statutes as "(1) Black Americans . . . (2) Hispanic Americans . . . (3) persons who have origins in the Iberian Peninsula . . . (4) Women . . . (5) Asian Pacific Americans and Pacific Islanders; (6) American Indians . . ." An individual with a disability is also a minority business enterprise as provided by Section 4a-60g of the Connecticut General Statutes. The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance Regulations.

The awarding agency will consider the following factors when reviewing the bidder's qualifications under the contract compliance requirements:

- (a) the bidder's success in implementing an affirmative action plan;
- (b) the bidder's success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Administrative Regulations of Connecticut State Agencies, inclusive;
- (c) the bidder's promise to develop and implement a successful affirmative action plan;
- (d) the bidder's submission of employment statistics contained in the "Employment Information Form", indicating that the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and
- (e) the bidder's promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 46a-68j-30(10)(E) of the Contract Compliance Regulations.

INSTRUCTIONS AND OTHER INFORMATION

The following BIDDER CONTRACT COMPLIANCE MONITORING REPORT must be completed in full, signed, and submitted with the bid for this contract. The contract awarding agency and the Commission on Human Rights and Opportunities will use the information contained thereon to determine the bidders compliance to Sections 4a-60 and 4a-60a CONN. GEN. STAT., and Sections 46a-68j-23 of the Regulations of Connecticut State Agencies regarding equal employment opportunity, and the bidder's "good faith efforts to include minority business enterprises as subcontractors and suppliers for the work of the contract.

1) Definition of Small Contractor

Section 4a-60g CONN. GEN. STAT. defines a small contractor as a company that has been doing business under the same management and control and has maintained its principal place of business in Connecticut for a one year period immediately prior to its application for certification under this section, had gross revenues not exceeding ten million dollars in the most recently completed fiscal year, and at least fifty-one percent of the ownership of which is held by a person or persons who are active in the daily affairs of the company, and have the power to direct the management and policies of the company, except that a nonprofit corporation shall be construed to be a small contractor if such nonprofit corporation meets the requirements of subparagraphs (A) and (B) of subdivision 4a-60g CONN. GEN. STAT.

2) Description of Job Categories (as used in Part IV Bidder Employment Information) (Page 2)

<p>MANAGEMENT: Managers plan, organize, direct, and control the major functions of an organization through subordinates who are at the managerial or supervisory level. They make policy decisions and set objectives for the company or departments. They are not usually directly involved in production or providing services. Examples include top executives, public relations managers, managers of operations specialties (such as financial, human resources, or purchasing managers), and construction and engineering managers.</p> <p>BUSINESS AND FINANCIAL OPERATIONS: These occupations include managers and professionals who work with the financial aspects of the business. These occupations include accountants and auditors, purchasing agents, management analysts, labor relations specialists, and budget, credit, and financial analysts.</p> <p>MARKETING AND SALES: Occupations related to the act or process of buying and selling products and/or services such as sales engineer, retail sales workers and sales representatives including wholesale.</p> <p>LEGAL OCCUPATIONS: In-House Counsel who is charged with providing legal advice and services in regards to legal issues that may arise during the course of standard business practices. This category also includes assistive legal occupations such as paralegals, legal assistants.</p> <p>COMPUTER SPECIALISTS: Professionals responsible for the computer operations within a company are grouped in this category. Examples of job titles in this category include computer programmers, software engineers, database administrators, computer scientists, systems analysts, and computer support specialists</p> <p>ARCHITECTURE AND ENGINEERING: Occupations related to architecture, surveying, engineering, and drafting are included in this category. Some of the job titles in this category include electrical and electronic engineers, surveyors, architects, drafters, mechanical engineers, materials engineers, mapping technicians, and civil engineers.</p> <p>OFFICE AND ADMINISTRATIVE SUPPORT: All clerical-type work is included in this category. These jobs involve the preparing, transcribing, and preserving of written communications and records; collecting accounts; gathering and distributing information; operating office machines and electronic data processing equipment; and distributing mail. Job titles listed in this category include telephone operators, bill and account collectors, customer service representatives, dispatchers, secretaries and administrative assistants, computer operators and clerks (such as payroll, shipping, stock, mail and file).</p>	<p>BUILDING AND GROUNDS CLEANING AND MAINTENANCE: This category includes occupations involving landscaping, housekeeping, and janitorial services. Job titles found in this category include supervisors of landscaping or housekeeping, janitors, maids, grounds maintenance workers, and pest control workers.</p> <p>CONSTRUCTION AND EXTRACTION: This category includes construction trades and related occupations. Job titles found in this category include boilermakers, masons (all types), carpenters, construction laborers, electricians, plumbers (and related trades), roofers, sheet metal workers, elevator installers, hazardous materials removal workers, paperhangers, and painters. Paving, surfacing, and tamping equipment operators; drywall and ceiling tile installers; and carpet, floor and tile installers and finishers are also included in this category. First line supervisors, foremen, and helpers in these trades are also grouped in this category..</p> <p>INSTALLATION, MAINTENANCE AND REPAIR: Occupations involving the installation, maintenance, and repair of equipment are included in this group. Examples of job titles found here are heating, ac, and refrigeration mechanics and installers; telecommunication line installers and repairers; heavy vehicle and mobile equipment service technicians and mechanics; small engine mechanics; security and fire alarm systems installers; electric/electronic repair, industrial, utility and transportation equipment; millwrights; riggers; and manufactured building and mobile home installers. First line supervisors, foremen, and helpers for these jobs are also included in the category.</p> <p>MATERIAL MOVING WORKERS: The job titles included in this group are Crane and tower operators; dredge, excavating, and lading machine operators; hoist and winch operators; industrial truck and tractor operators; cleaners of vehicles and equipment; laborers and freight, stock, and material movers, hand; machine feeders and offbearers; packers and packagers, hand; pumping station operators; refuse and recyclable material collectors; and miscellaneous material moving workers.</p> <p>PRODUCTION WORKERS: The job titles included in this category are chemical production machine setters, operators and tenders; crushing/grinding workers; cutting workers; inspectors, testers sorters, samplers, weighers; precious stone/metal workers; painting workers; cementing/gluing machine operators and tenders; etchers/engravers; molders, shapers and casters except for metal and plastic; and production workers.</p>
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3) Definition of Racial and Ethnic Terms (as used in Part IV Bidder Employment Information) (Page 3)

<p><u>White</u> (not of Hispanic Origin)- All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.</p> <p><u>Black</u>(not of Hispanic Origin)- All persons having origins in any of the Black racial groups of Africa.</p> <p><u>Hispanic</u>- All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.</p>	<p><u>Asian or Pacific Islander</u>- All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes China, India, Japan, Korea, the Philippine Islands, and Samoa.</p> <p><u>American Indian or Alaskan Native</u>- All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.</p>
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BIDDER CONTRACT COMPLIANCE MONITORING REPORT

PART I - Bidder Information

Company Name Street Address City & State Chief Executive	Bidder Federal Employer Identification Number _____ Or Social Security Number _____
Major Business Activity (brief description)	Bidder Identification (response optional/definitions on page 1) -Bidder is a small contractor. Yes__ No__ -Bidder is a minority business enterprise Yes__ No__ (If yes, check ownership category) Black__ Hispanic__ Asian American__ American Indian/Alaskan Native__ Iberian Peninsula__ Individual(s) with a Physical Disability__ Female__
Bidder Parent Company (If any)	- Bidder is certified as above by State of CT Yes__ No__
Other Locations in Ct. (If any)	

PART II - Bidder Nondiscrimination Policies and Procedures

1. Does your company have a written Affirmative Action/Equal Employment Opportunity statement posted on company bulletin boards? Yes__ No__	7. Do all of your company contracts and purchase orders contain non-discrimination statements as required by Sections 4a-60 & 4a-60a Conn. Gen. Stat.? Yes__ No__
2. Does your company have the state-mandated sexual harassment prevention in the workplace policy posted on company bulletin boards? Yes__ No__	8. Do you, upon request, provide reasonable accommodation to employees, or applicants for employment, who have physical or mental disability? Yes__ No__
3. Do you notify all recruitment sources in writing of your company's Affirmative Action/Equal Employment Opportunity employment policy? Yes__ No__	9. Does your company have a mandatory retirement age for all employees? Yes__ No__
4. Do your company advertisements contain a written statement that you are an Affirmative Action/Equal Opportunity Employer? Yes__ No__	10. If your company has 50 or more employees, have you provided at least two (2) hours of sexual harassment training to all of your supervisors? Yes__ No__ NA__
5. Do you notify the Ct. State Employment Service of all employment openings with your company? Yes__ No__	11. If your company has apprenticeship programs, do they meet the Affirmative Action/Equal Employment Opportunity requirements of the apprenticeship standards of the Ct. Dept. of Labor? Yes__ No__ NA__
6. Does your company have a collective bargaining agreement with workers? Yes__ No__ 6a. If yes, do the collective bargaining agreements contain non-discrimination clauses covering all workers? Yes__ No__ 6b. Have you notified each union in writing of your commitments under the nondiscrimination requirements of contracts with the state of Ct? Yes__ No__	12. Does your company have a written affirmative action Plan? Yes__ No__ If no, please explain. 13. Is there a person in your company who is responsible for equal employment opportunity? Yes__ No__ If yes, give name and phone number. _____ _____

Part III - Bidder Subcontracting Practices

(Page 4)

1. Will the work of this contract include subcontractors or suppliers? Yes__ No__

1a. If yes, please list all subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise. (defined on page 1 / use additional sheet if necessary)

1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above?

Yes__ No__

PART IV - Bidder Employment Information

Date:

JOB CATEGORY *	OVERALL TOTALS	WHITE (not of Hispanic origin)		BLACK (not of Hispanic origin)		HISPANIC		ASIAN or PACIFIC ISLANDER		AMERICAN INDIAN or ALASKAN NATIVE	
		Male	Female	Male	Female	Male	Female	Male	Female	male	female
Management											
Business & Financial Ops											
Marketing & Sales											
Legal Occupations											
Computer Specialists											
Architecture/Engineering											
Office & Admin Support											
Bldg/ Grounds Cleaning/Maintenance											
Construction & Extraction											
Installation , Maintenance & Repair											
Material Moving Workers											
Production Occupations											
TOTALS ABOVE											
Total One Year Ago											
FORMAL ON THE JOB TRAINEES (ENTER FIGURES FOR THE SAME CATEGORIES AS ARE SHOWN ABOVE)											
Apprentices											
Trainees											

*NOTE: JOB CATEGORIES CAN BE CHANGED OR ADDED TO (EX. SALES CAN BE ADDED OR REPLACE A CATEGORY NOT USED IN YOUR COMPANY)

PART V - Bidder Hiring and Recruitment Practices

(Page 5)

1. Which of the following recruitment sources are used by you? (Check yes or no, and report percent used)				2. Check (X) any of the below listed requirements that you use as a hiring qualification (X)		3. Describe below any other practices or actions that you take which show that you hire, train, and promote employees without discrimination
SOURCE	YES	NO	% of applicants provided by source			
State Employment Service					Work Experience	
Private Employment Agencies					Ability to Speak or Write English	
Schools and Colleges					Written Tests	
Newspaper Advertisement					High School Diploma	
Walk Ins					College Degree	
Present Employees					Union Membership	
Labor Organizations					Personal Recommendation	
Minority/Community Organizations					Height or Weight	
Others (please identify)					Car Ownership	
					Arrest Record	
					Wage Garnishments	

Certification (Read this form and check your statements on it CAREFULLY before signing). I certify that the statements made by me on this BIDDER CONTRACT COMPLIANCE MONITORING REPORT are complete and true to the best of my knowledge and belief, and are made in good faith. I understand that if I knowingly make any misstatements of facts, I am subject to be declared in non-compliance with Section 4a-60, 4a-60a, and related sections of the CONN. GEN. STAT.

(Signature)	(Title)	(Date Signed)	(Telephone)
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CONSTRUCTION MONITORING PROCEDURES

Construction Monitoring covers the development phases of projects from pre-bid activities through construction contract administration to final construction closeout. Functions include oversight of bidding, bid tabulation and recommendation of the lowest responsible bidder, coordination with pre and post bid meetings, review of construction contract documents, review of payment requisitions, change orders, shop drawings as well as construction inspection.

The DECD Construction Specialist is the department's technical support regarding the management and administration of construction projects funded by the State of Connecticut. It will be the responsibility of the grantee to submit the documents listed below, when applicable, to DECD. Electronic submissions are preferred. In addition to electronic submissions, hard copies of certain documents may also be requested.

DECD will determine the extent of state monitoring, oversight and technical assistance for sponsored projects based on factors including estimated total project cost, project complexity and capacity of the applicant. DECD will notify the applicant of monitoring requirements prior to the closing of the state assistance agreement.

Unless notified by DECD, for projects with a total project cost of \$250,000 or less, the grantee will be required to certify that the project is in compliance with DECD design, bidding, contracting and construction monitoring requirements. Unless specifically waived by DECD, the grantee's design professional must have the proper professional credentials, i.e. professional engineer or registered architect. It will be the responsibility of the grantee to certify and submit the appropriate documentation during the pre-bid phase, construction phase and close-out phase of the project. The grantee will be required to provide the DECD with the following signed certification documents once the bid package has been prepared and once the construction contract has been executed:

1. Construction Bid Package, Drawings, and Specifications Compliance Certification (page 23)
2. Construction Monitoring & Close-out Compliance Certification (page 24)

THE FOLLOWING DOCUMENTS SHALL BE SUBMITTED TO THE DECD CONSTRUCTION SPECIALIST DURING THE CONSTRUCTION PHASE OF THE PROJECT:

1. Copy of the contractor's approved schedule of values.
2. Copy of the contractor's construction schedule. Any adjustments to the schedule throughout construction must be submitted to DECD.
3. Approved monthly requisitions. Back up materials may be requested.
4. Job meeting minutes.
5. Approved change orders. Back up materials may be requested.
6. Copies of correspondence between Owner, Architect and/or Contractor.

THE FOLLOWING DOCUMENTS SHALL BE SUBMITTED TO THE DECD CONSTRUCTION SPECIALIST AT THE COMPLETION OF THE PROJECT:

1. Certificate of occupancy (where applicable)
2. Record documents (As Builts)
3. Certificate of Substantial Completion (AIA form G704)
4. Contractor's Affidavit of Payment of Debts and Claims (AIA form G706)
5. Contractor's Affidavit of Release of Liens (AIA form G706A)
6. Subcontractors and Suppliers Release or Waiver of Liens.
7. Consent of Surety Company to Final Payment (AIA G707)
8. Consent of Surety to a Reduction in or Partial Release of Retainage at 50% project completion, if applicable: (AIA form G707A). Requires DECD concurrence.
9. Final Application and Certificate for Payment (AIA form G702, and continuation sheet G703).

Construction Oversight and Technical Assistance:

Construction monitoring by ORD Construction Specialists, applicable to all programs, includes:

- Provide technical assistance involving various projects and programs with other offices within DECD.
- Work with Local, State and/or Federal officials during the development phase of a project.
- Conduct site investigations for feasibility of development.
- Review budgets and cost estimates as they relate to construction costs.
- Review plans and specifications for conformance to Agency requirements prior to bidding.
- Assist Developer/Sponsor during the bidding period.
- Review bid documents, bid advertisements, bid instructions and bidding requirements
- Attend and oversee pre-bid inspections, bid openings, construction contract briefings, and construction contract execution meetings.
- Review construction bids, bid bonds, and contractor selection.
- Compliance review of executed construction contract documents received; review contracts, bonds, schedule of values and insurance certificates between Sponsor and General Contractor
- Construction Oversight and Technical Assistance: Monitor progress of work during construction for compliance with agency, state & federal requirements and procedures, (labor and safety standards, wage standards, etc.)
- Conduct periodic inspections of the project construction activities.
- Review the following: construction meeting minutes, proposal requests, change orders; costs, review requisitions and construction periodical payments for work completed; architect's supplemental instructions and directives; and correspondence.
- Review and process payment applications for disbursement of state funds.
- Review materials and products being used in the construction.
- Participate in the final inspection of the construction contract to ensure that the completed work is satisfactory. Review construction contract certificate of completion.
- Review construction closeout procedures with sponsor prior to acceptance of a project.
- Review construction closeout documentation prior to acceptance of a project, including certificates of occupancy and record documents. Certificates of substantial completion, affidavits of payments of debts, releases of liens, lien waivers, final applications and certificates for payment must also be reviewed.

**CONSTRUCTION BID PACKAGE, DRAWINGS AND SPECIFICATIONS
COMPLIANCE CERTIFICATION**

GRANTEE: _____

PROJECT NAME AND MUNICIPALITY: _____

I, _____, to the best of my knowledge, and as the responsible grantee do hereby certify that the construction documents (Bid Package, Drawings & Specifications) have been completed by a licensed professional engineer or architect for the above project and certify the following:

1. A complete copy of the Bid Package and Invitation to Bid has been submitted to, and is on file with the Department of Economic & Community Development (DECD).
2. The Drawings and or Specifications for the above Project cover the scope of work, as indentified in the DECD Financial Assistance Proposal.
3. The DECD Bidding, Contracting and Construction Guidelines for State Programs have been thoroughly reviewed by the grantee and qualified design professional.
4. The Bid Package is technically correct and complete and clearly shows that all of the DECD terms and conditions for bidding the project have been met and that the project is ready to go out to bid.
5. The bid results and the required documentation, including the *Construction Monitoring and Close-out Compliance Certification*, will be forwarded to the DECD at the completion of bidding before the grantee moves forward with executing the construction contract.

Signed _____

Title: _____

Address _____

Telephone _____ Date _____

**CONSTRUCTION CONTRACT AND MONITORING
COMPLIANCE CERTIFICATION**

GRANTEE: _____

PROJECT NAME AND MUNICIPALITY: _____

I, _____, to the best of my knowledge, and as the responsible grantee do hereby certify that the bid results have been reviewed by a licensed professional engineer or architect for the above project and certify the following:

1. The qualified design professional has assessed and tabulated all of the bids and has made a recommendation to award the bid to the lowest responsible bidder whose bid is lowest of those bidders possessing the skill, ability and integrity necessary to faithfully perform the work.
2. The required bid result documentation has been submitted to DECD at the completion of bidding before the grantee moves forward with executing the construction contract.
3. The lowest responsible bidders executed contract, grantee's authority to execute, and all other documentation required by the DECD once the general contract has been executed will be forwarded to the DECD before construction commences.
4. It will be the responsibility of the grantee to provide construction oversight and inspection on the project by following all of the procedures and submitting all of the documentation indicated in the Construction Monitoring Procedures.

Signed _____

Title: _____

Address _____

Telephone _____ Date _____